

**PERSONAL FINANCIAL STATEMENT****FORM PFS  
COVER SHEET**

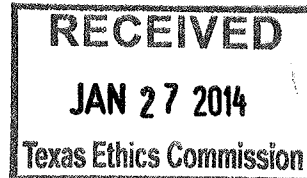
Filed in accordance with chapter 572 of the Government Code. ✓  
 For filings required in 2014, covering calendar year ending December 31, **2013**.  
 Use FORM PFS - INSTRUCTION GUIDE when completing this form.

PAGE # Page 1 of 78

ACCOUNT # 00020990

**OFFICE USE ONLY**

Date Received



Receipt #

HD / PM 1-21-14 Amount

Legal

Date Processed

**PROCESSED JAN 28 2014**

Date Imaged

**1 NAME**

TITLE, FIRST, MI  
 Sen. Royce

NICKNAME, LAST, SUFFIX  
 West

**2 ADDRESS**

320 South R. L. Thornton Freeway  
 Suite 300  
 Dallas, TX 75203-1804

☐ (CHECK IF FILER'S HOME ADDRESS)

**3 TELEPHONE NUMBER**

AREA CODE NUMBER; EXTENSION

**4 REASON FOR FILING STATEMENT**

- ☐ CANDIDATE \_\_\_\_\_ (INDICATE OFFICE)
- ☒ ELECTED OFFICER Texas Senator, District 23 (INDICATE OFFICE)
- ☐ APPOINTED OFFICER \_\_\_\_\_ (INDICATE AGENCY)
- ☐ EXECUTIVE HEAD \_\_\_\_\_ (INDICATE AGENCY)
- ☐ FORMER OR RETIRED JUDGE SITTING BY ASSIGNMENT
- ☐ STATE PARTY CHAIR \_\_\_\_\_ (INDICATE PARTY)
- ☐ OTHER \_\_\_\_\_ (INDICATE POSITION)

**5** Family members whose financial activity you are reporting (filer must report information about the financial activity of the filer's spouse or dependent children if the filer had actual control over that activity):

SPOUSE \_\_\_\_\_

DEPENDENT CHILD 1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

In parts 1 through 18, you will disclose your financial activity during the calendar year. In parts 1 through 14, you are required to disclose not only your own financial activity, but also that of your spouse or a dependent child if you had actual control over that person's financial activity.

80

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

R-601946

**SOURCES OF OCCUPATIONAL INCOME****PART 1A**☐ NOT APPLICABLE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |  |
|--|--|
| <b>1</b> INFORMATION RELATES TO  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |
| <b>2</b> EMPLOYMENT<br><br><input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD<br><input type="checkbox"/> (Check if Filer's Home Address)<br><br>State of Texas<br>1400 N. Congress Avenue<br>Room 1E.3<br>Austin, TX 78701-1932<br><br>State Senator |
| <input type="checkbox"/> SELF-EMPLOYED   | NATURE OF OCCUPATION   |

---

|  |   |
|--|---|
| INFORMATION RELATES TO   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| EMPLOYMENT<br><br><input type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD<br><input type="checkbox"/> (Check if Filer's Home Address)<br><br>West & Associates, LLP<br>320 South R. L. Thornton Freeway<br>Suite 300<br>Dallas, TX 75203-1804<br><br>Legal |
| <input checked="" type="checkbox"/> SELF-EMPLOYED              | NATURE OF OCCUPATION  |

---

|  |   |
|--|---|
| INFORMATION RELATES TO   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| EMPLOYMENT<br><br><input type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD<br><input type="checkbox"/> (Check if Filer's Home Address)<br><br>Royce West & Associates, P.C.<br>320 South R. L. Thornton Freeway<br>Suite 300<br>Dallas, TX 75203-1804 |
| <input checked="" type="checkbox"/> SELF-EMPLOYED              | NATURE OF OCCUPATION  |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |   |  |  |
|-----------------------------|---|--|---|--|--|
| 1 BUSINESS ENTITY           | ALTRIA GROUP INC                          |  |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE    |   |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN         |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | AMERICAN AIRLINES GRP INC                 |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE    |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | AMERICAN INTERNATIONAL GROUP INC          |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE    |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | APPLE INC                                 |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE    |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | AT&T INC                                  |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE    |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |  |  |  |
|-----------------------------|---|--|--|--|--|
| 1 BUSINESS ENTITY           | BANK OF AMERICA CORP                      |  |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499                | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE            |  |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN         |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000         | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CATERPILLAR                               |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499                | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE            |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000         | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ENERGY XXI GULF COAST INC SR NOTE         |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499                | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input checked="" type="checkbox"/> 10,000 OR MORE |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000         | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | FACEBOOK INC                              |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499                | <input type="checkbox"/> 500 TO 999            | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE            |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000         | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | FIRST TR FINANCIALS                       |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100    | <input checked="" type="checkbox"/> 100 TO 499     | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE            |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN         |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000         | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |  |  |  |
|-----------------------------|---|--|--|--|--|
| 1 BUSINESS ENTITY           | FLOUR CORP NEW                                    |  |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____  |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100            | <input type="checkbox"/> 100 TO 499            | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | GLOBAL X SOCIAL MEDIA                             |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____  |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | GUGGENHEIM RUSSELL                                |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____  |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | GUGGENHEIM S&P 500 EQUAL                          |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____  |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES CORE S&P 500 ETF                          |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____  |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |   |  |  |
|-----------------------------|---|--|---|--|--|
| 1 BUSINESS ENTITY           | ISHARES IBOX\$ HIGH YEL                           |  |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |   |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES INC CORE MSCI                             |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES MSCI BRAZIL                               |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES MSCI EMERGING                             |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES PHLX                                      |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |  |  |  |
|-----------------------------|---|--|--|--|--|
| 1 BUSINESS ENTITY           | ISHARES S&P 100                                   |  |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES S&P GLBL HEALTH                           |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES S&P GLBL 100                              |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ISHARES U.S.                                      |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499            | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | MARKET VECTORS ETF TR                             |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE        |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |  |  |   |   |
|-----------------------------|--|--|---|---|
| 1 BUSINESS ENTITY           | NAME<br>MARKET VECTORS ETF TR GOLD MINERS                              |  |   |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100                                 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE        |   |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |   |   |
|---------------------------|--|--|---|---|
| BUSINESS ENTITY           | NAME<br>POWERSHARES QQQ TR UNITS                                       |  |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100                                 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE        |   |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |   |   |
|---------------------------|--|--|---|---|
| BUSINESS ENTITY           | NAME<br>PROSHARES S&P 500  |  |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input checked="" type="checkbox"/> 1,000 TO 4,999                                      |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |   |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |   |   |
|---------------------------|--|--|---|---|
| BUSINESS ENTITY           | NAME<br>SECTOR SPDR ENERGY   |  |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |   |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |   |   |
|---------------------------|--|--|---|---|
| BUSINESS ENTITY           | NAME<br>SECTOR SPDR INDUSTRIAL   |  |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |   |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |  |   |
|-----------------------------|---|--|--|---|
| 1 BUSINESS ENTITY           | NAME<br>SOUTHWEST AIRLNS CO               |  |  |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                    | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100    | <input type="checkbox"/> 100 TO 499                | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input checked="" type="checkbox"/> 10,000 OR MORE |  |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN         |  |  |   |
|                             | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000         | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |  |  |   |
|---------------------------|---|--|--|---|
| BUSINESS ENTITY           | NAME<br>SPDR DOW JONES INDUST AV                  |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                 |  |  |   |
|                           | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |  |  |   |
|---------------------------|---|--|--|---|
| BUSINESS ENTITY           | NAME<br>SPDR GOLD TRUST                           |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                 |  |  |   |
|                           | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |  |  |   |
|---------------------------|---|--|--|---|
| BUSINESS ENTITY           | NAME<br>SPDR KBW REGIONAL BANKIN                  |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                 |  |  |   |
|                           | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |  |  |   |
|---------------------------|---|--|--|---|
| BUSINESS ENTITY           | NAME<br>SPDR S P BRIC 40                  |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100    | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE        |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN         |  |  |   |
|                           | <input type="checkbox"/> NET LOSS         | <input type="checkbox"/> LESS THAN \$5,000     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |  |  |  |
|-----------------------------|---|--|--|--|--|
| 1 BUSINESS ENTITY           | SPDR S P DIVID ETF                                |  |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100            | <input type="checkbox"/> 100 TO 499        | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | SPDR S P EMERG ASIA PAC                           |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | SPDR S&P 500 ETF TRUST                            |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | SPDR S&P INTL TELECOM                             |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | VANGUARD HIGH DVD YIELD                           |  |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE    |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |  |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |  |  |  |   |
|-----------------------------|--|--|--|---|
| 1 BUSINESS ENTITY           | NAME<br>VANGUARD INDUSTRIAL ETF  |  |  |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |  |   |
|---------------------------|--|--|--|---|
| BUSINESS ENTITY           | NAME<br>VANGUARD INFORMATION   |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |  |   |
|---------------------------|--|--|--|---|
| BUSINESS ENTITY           | NAME<br>VANGUARD MEGA CAP ETF  |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |  |   |
|---------------------------|--|--|--|---|
| BUSINESS ENTITY           | NAME<br>VANGUARD MSCI EMERGING   |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |  |   |
|---------------------------|--|--|--|---|
| BUSINESS ENTITY           | NAME<br>WAL-MART STORES INC  |  |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                              | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input checked="" type="checkbox"/> 1,000 TO 4,999                                      |
|                           | <input type="checkbox"/> 5,000 TO 9,999                                | <input type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |   |
|-----------------------------|---|---|--|---|
| 1 BUSINESS ENTITY           | NAME<br>WHOLE FOODS MKT INC COM                   |   |  |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100            | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input checked="" type="checkbox"/> 1,000 TO 4,999                                      |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 |   |  |   |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | NAME<br>WISDOMTREE TRUST JAPAN HEDGE EQUITY FD    |   |  |   |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |   |  |   |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000            | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | NAME<br>3M COMPANY                                |   |  |   |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |  |   |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | NAME<br>ALEXION PHARMS INC                        |   |  |   |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |  |   |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | NAME<br>ALPS SECTOR DIVIDND DOGS                  |   |  |   |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |   |  |   |
|                             | <input checked="" type="checkbox"/> NET LOSS      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | ANADARKO PETE CORP                                |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                             | <input checked="" type="checkbox"/> NET LOSS      |   |  |  |  |
| BUSINESS ENTITY             | APPLE INC   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                             | <input type="checkbox"/> NET LOSS                 |   |  |  |  |
| BUSINESS ENTITY             | ARCHER DANIELS MIDLD                              |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                             | <input type="checkbox"/> NET LOSS                 |   |  |  |  |
| BUSINESS ENTITY             | AUTOMATIC DATA PROC                               |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                             | <input type="checkbox"/> NET LOSS                 |   |  |  |  |
| BUSINESS ENTITY             | BANK OF AMERICA CORP                              |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input type="checkbox"/> 100 TO 499                   | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
|                             | <input type="checkbox"/> NET LOSS                 |   |  |  |  |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |   |
|-----------------------------|---|---|---|---|
| 1 BUSINESS ENTITY           | NAME<br>BARNES & NOBLES INC   |   |   |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>BAXER INTERNATIONAL INC.  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>BEAM INC COM  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>BIOGEN IDEC INC   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>BOEING COMPANY  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | CAPITAL ONE FINL  |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CATAMARAN CORP SHS  |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CATERPILLAR INC DEL   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CELANESE CORP DEL SER A   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CHENIERE ENERGY   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | CHEVRON CORP  |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CHICAGO BRDG & IRON CO NV   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CHUBB CORP  |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CISCO SYSTEMS INC COM   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | CLEAN HARBORS INC   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |   |
|-----------------------------|---|---|--|---|
| 1 BUSINESS ENTITY           | NAME<br>CLEARBRIDGE ENERGY MLP  |   |  |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>COCA COLA COM   |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>COGNIZANT TECH SOLUTNS A  |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>COLUMBIA SEL LG CP GRW Z  |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>CREE INC  |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |  |  |
|-----------------------------|---|---|---|--|--|
| 1 BUSINESS ENTITY           | D R HORTON INC  |   |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | DISCOVER FINL SVCS  |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000            | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | EBAY INC COM  |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ELAN CORP PLC ADR   |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ELI LILLY & CO  |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |  |  |
|-----------------------------|---|--|--|--|
| 1 BUSINESS ENTITY           | NAME<br>EMERSON ELEC CO   |  |  |  |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input type="checkbox"/> 100 TO 499        | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE    |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>ENERGY XXI LTD NEW COM  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>EOG RESOURCES INC   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>EXPRESS SCRIPTS HLDG CO   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>EXXON MOBIL CORP COM  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |  |   |  |   |
|-----------------------------|--|---|--|---|
| 1 BUSINESS ENTITY           | FORD MOTOR CO                                |   |  | NAME  |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100       | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input checked="" type="checkbox"/> 1,000 TO 4,999                                      |
|                             | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN            |   |  |   |
|                             | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | FRAC KINDER MORGAN MGMT                      |   |  | NAME  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100       | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN |   |  |   |
|                             | <input type="checkbox"/> NET LOSS            | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | FREEPRT-MCMRAN CPR & GLD                     |   |  | NAME  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100       | <input type="checkbox"/> 100 TO 499                   | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN |   |  |   |
|                             | <input type="checkbox"/> NET LOSS            | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | GABELLI DIV & INC TR                         |   |  | NAME  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100       | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN |   |  |   |
|                             | <input type="checkbox"/> NET LOSS            | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | GNC HOLDINGS INC SHS                         |   |  | NAME  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100       | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                     | <input type="checkbox"/> NET GAIN            |   |  |   |
|                             | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |  |  |
|-----------------------------|---|--|--|--|
| 1 BUSINESS ENTITY           | NAME<br>HALLIBURTON COMPANY   |  |  |  |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE  | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999            | <input checked="" type="checkbox"/> 1,000 TO 4,999   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000                          | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999<br><input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |
|---------------------------|---|---|--|--|
| BUSINESS ENTITY           | NAME<br>HERTZ GLOBAL HOLDINGS IN  |   |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000                                     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999<br><input type="checkbox"/> \$25,000--OR MORE |

|                           |  |  |  |  |
|---------------------------|--|--|--|--|
| BUSINESS ENTITY           | NAME<br>HOME DEPOT INC   |  |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER  | <input type="checkbox"/> SPOUSE  | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS            | <input checked="" type="checkbox"/> LESS THAN \$5,000                          | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999<br><input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |
|---------------------------|---|---|--|--|
| BUSINESS ENTITY           | NAME<br>HONEYWELL INTL INC DEL  |   |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000                                     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999<br><input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |
|---------------------------|---|---|--|--|
| BUSINESS ENTITY           | NAME<br>INGREDION INC SHS   |   |  |  |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD _____ |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000                                     | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999<br><input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |   |
|-----------------------------|---|---|---|---|
| 1 BUSINESS ENTITY           | NAME<br>INTL PAPER CO   |   |   |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>ISHARES BARCLAYS TIPS BO  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>ISHARES PHLX  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>ISHARES S&P 100   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>ISHARES S&P GLBL HEALTH   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | ISHARES S&P GLOBAL 100  |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | ISHARES SILVER TR   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | JOHNSON AND JOHNSON COM   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | KINDER MORGANS MANAGEMENT LLC   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | LENNAR CORP CL A  |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |  |   |   |  |  |
|-----------------------------|--|---|---|--|--|
| 1 BUSINESS ENTITY           | LINEAR TECHONOLGY CORP                       |   |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100       | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN            |   |   |  |  |
|                             | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |  |  |
|---------------------------|---|---|---|--|--|
| BUSINESS ENTITY           | LORILLARD INC                                     |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                 |   |   |  |  |
|                           | <input checked="" type="checkbox"/> NET LOSS      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |   |   |  |  |
|---------------------------|--|---|---|--|--|
| BUSINESS ENTITY           | LYONDELLBASELL INDUSTRIE                     |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100       | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN |   |   |  |  |
|                           | <input type="checkbox"/> NET LOSS            | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |  |  |
|---------------------------|---|---|---|--|--|
| BUSINESS ENTITY           | MARKET VECTORS AGRBUSNSS                          |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN                 |   |   |  |  |
|                           | <input checked="" type="checkbox"/> NET LOSS      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |  |   |   |  |  |
|---------------------------|--|---|---|--|--|
| BUSINESS ENTITY           | MARKET VECTOS ETF TR                         |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER    | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100       | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999      | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input type="checkbox"/> NET GAIN            |   |   |  |  |
|                           | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |   |
|-----------------------------|---|---|---|---|
| 1 BUSINESS ENTITY           | NAME<br>MCDONALDS CORP COM  |   |   |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>MEDTRONIC INC COM   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>MICROCHIP TECHNOLOGY INC  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>MICROSOFT CORP  |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____  |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input type="checkbox"/> 100 TO 499                   | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>MORGAN STANLEY  |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____  |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input type="checkbox"/> 100 TO 499                   | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | NOBLE ENERGY INC  |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NORDSTROM INC   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input type="checkbox"/> 100 TO 499                   | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | NOVO NORDISK A S ADR  |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | OCWEN FINL CORP COM NEW   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |  |  |
|---------------------------|---|---|--|--|--|
| BUSINESS ENTITY           | OMNICARE INC  |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | PAYCHEX INC   |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | PERRIGO CO  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | PFIZER INC  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | PHILLIP MORRIS INTL INC.  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | PLUM CREEK TIMBER CO INC  |   |  |  |  |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | POWERSHARES QQQ TR UNITS  |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | POWERSHARES S&P 500 HIGH  |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | PRIN PRFD SEC FD CL P   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | PROCTER & GAMBLE  |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | PROSHARES ULTRASHORT RUSSELL 2000   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |   |
|-----------------------------|---|---|--|---|
| 1 BUSINESS ENTITY           | NAME<br>PROTHENA CORP PLC SHS   |   |  |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>PVH CORP  |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>QUESTR CORP NPV   |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>REGENERON PHARMACTCLS   |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |  |   |
|---------------------------|---|---|--|---|
| BUSINESS ENTITY           | NAME<br>ROBERTHALF INTL INC COM   |   |  |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |  |  |
|-----------------------------|---|---|---|--|--|
| 1 BUSINESS ENTITY           | ROPER INDUSTRIES INC COM  |   |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| 3 NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | SALESFORCE COM INC  |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | SEADRILL LTD  |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | SLM CORP  |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | SPDR GOLD TRUST   |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |  |  |
|-----------------------------|---|---|---|--|--|
| 1 BUSINESS ENTITY           | SPDR S P DIVID ETF  |   |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |  |  |
|---------------------------|---|---|---|--|--|
| BUSINESS ENTITY           | SPDR S&P 500 ETF TRUST  |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |  |  |
|---------------------------|---|---|---|--|--|
| BUSINESS ENTITY           | TARGET CORP COM   |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |  |   |  |  |
|---------------------------|---|--|---|--|--|
| BUSINESS ENTITY           | TEXAS INSTRUMENTS   |  |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE            | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input type="checkbox"/> 100 TO 499        | <input checked="" type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE    |   |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |  |  |
|---------------------------|---|---|---|--|--|
| BUSINESS ENTITY           | TRANSDIGM GROUP INC   |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |  |  |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |  |  |
|-----------------------------|---|---|---|--|--|
| 1 BUSINESS ENTITY           | TW TELECOM INC                                    |   |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| 4 IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | TWITTER INC                                       |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input type="checkbox"/> 100 TO 499                   | <input checked="" type="checkbox"/> 500 TO 999        | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input type="checkbox"/> LESS THAN \$5,000            | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | ULTRA SALON COSMETICS & FRAGRAN                   |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | UNITED STS STL CORP NEW                           |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                 |   |   |  |  |
|                             | <input checked="" type="checkbox"/> NET LOSS      | <input type="checkbox"/> LESS THAN \$5,000            | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | UNITED TECHS CORP COM                             |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |  |   |   |
|-----------------------------|---|--|---|---|
| 1 BUSINESS ENTITY           | NAME<br>VALERO ENERGY CORP NEW  |  |   |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                | <input type="checkbox"/> DEPENDENT CHILD ____         |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999   |
|                             | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE        |   |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000     | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>VANGUARD DIVIDEND APPRECIATION ETF  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100  | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>VANGUARD HIGH DVD YIELD   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>VANGUARD INFORMATION  |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                           |   |   |   |   |
|---------------------------|---|---|---|---|
| BUSINESS ENTITY           | NAME<br>VANGUARD MEGA CAP ETF   |   |   |   |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____ |   |
| NUMBER OF SHARES          | <input checked="" type="checkbox"/> LESS THAN 100                                 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999   |
|                           | <input type="checkbox"/> 5,000 TO 9,999   | <input type="checkbox"/> 10,000 OR MORE               |   |   |
| IF SOLD                   | <input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999    | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |  |  |
|-----------------------------|---|---|--|--|--|
| 1 BUSINESS ENTITY           | VIVUS INC DEL PV40.001                            |   |  |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 |   |  |  |  |
|                             | <input checked="" type="checkbox"/> NET LOSS      | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | WAL-MART STORES INC                               |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | WELLS FARGO & CO NEW DEL                          |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | WEYERHAEUSER CO                                   |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100            | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | WHIRLPOOL CORP                                    |   |  |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999      |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |  |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |  |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999     | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |   |  |  |
|-----------------------------|---|---|---|--|--|
| 1 BUSINESS ENTITY           | WINDSTREAM CORP                                   |   |   |  | NAME                                       |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100            | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input checked="" type="checkbox"/> 1,000 TO 4,999 |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                 |   |   |  |  |
|                             | <input checked="" type="checkbox"/> NET LOSS      | <input type="checkbox"/> LESS THAN \$5,000            | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | WISDOMTREE TRUST JAPAN                            |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | WYNDHAM WORLDWIDE CORP W                          |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | FEDEX CORP DELAWARE COM                           |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | FIRST TR FINANCIALS                               |   |   |  | NAME                                       |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER         | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD ____         |  |  |
| NUMBER OF SHARES            | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999                   | <input type="checkbox"/> 1,000 TO 4,999            |  |
|                             | <input type="checkbox"/> 5,000 TO 9,999           | <input type="checkbox"/> 10,000 OR MORE               |   |  |  |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN      |   |   |  |  |
|                             | <input type="checkbox"/> NET LOSS                 | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999       | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**STOCK****PART 2**☐ NOT APPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                             |   |   |  |   |
|-----------------------------|---|---|--|---|
| 1 BUSINESS ENTITY           | FIRST TR ISE GLOBAL <span style="float: right;">NAME</span> |   |  |   |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER                   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 3 NUMBER OF SHARES          | <input type="checkbox"/> LESS THAN 100                      | <input checked="" type="checkbox"/> 100 TO 499        | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999               |
|                             | <input type="checkbox"/> 5,000 TO 9,999                     | <input type="checkbox"/> 10,000 OR MORE               |  |   |
| 4 IF SOLD                   | <input type="checkbox"/> NET GAIN                           | <input checked="" type="checkbox"/> LESS THAN \$5,000 |  |   |
|                             | <input checked="" type="checkbox"/> NET LOSS                | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE            |
| BUSINESS ENTITY             | PEGASUS BANK <span style="float: right;">NAME</span>        |   |  |   |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER                   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999               |
|                             | <input type="checkbox"/> 5,000 TO 9,999                     | <input checked="" type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                     | <input type="checkbox"/> NET GAIN                           | <input type="checkbox"/> LESS THAN \$5,000            |  |   |
|                             | <input type="checkbox"/> NET LOSS                           | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE            |
| BUSINESS ENTITY             | AMR CORP <span style="float: right;">NAME</span>            |   |  |   |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER                   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999               |
|                             | <input type="checkbox"/> 5,000 TO 9,999                     | <input checked="" type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN                | <input type="checkbox"/> LESS THAN \$5,000            |  |   |
|                             | <input type="checkbox"/> NET LOSS                           | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999   | <input checked="" type="checkbox"/> \$25,000--OR MORE |
| BUSINESS ENTITY             | BANK OF AMERICA <span style="float: right;">NAME</span>     |   |  |   |
| STOCK HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER                   | <input type="checkbox"/> SPOUSE                       | <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| NUMBER OF SHARES            | <input type="checkbox"/> LESS THAN 100                      | <input type="checkbox"/> 100 TO 499                   | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999               |
|                             | <input type="checkbox"/> 5,000 TO 9,999                     | <input checked="" type="checkbox"/> 10,000 OR MORE    |  |   |
| IF SOLD                     | <input checked="" type="checkbox"/> NET GAIN                | <input type="checkbox"/> LESS THAN \$5,000            |  |   |
|                             | <input type="checkbox"/> NET LOSS                           | <input type="checkbox"/> \$5,000 - \$9,999            | <input type="checkbox"/> \$10,000 - \$24,999   | <input checked="" type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**BONDS, NOTES & OTHER COMMERCIAL PAPER****PART 3**☐ NOT APPLICABLE

List all bonds, notes and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |   |
|--|---|
| <b>1</b> DESCRIPTION OF INSTRUMENT   | CALIFORNIA ST VAR PURP  |
| <b>2</b> HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____   |
| <b>3</b> IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| DESCRIPTION OF INSTRUMENT  | DALLAS TEX INDPT SCH  |
| HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____   |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS          | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| DESCRIPTION OF INSTRUMENT  | GILROY CALIF UNI SCH  |
| HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____   |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS          | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**BONDS, NOTES & OTHER COMMERCIAL PAPER****PART 3**☐ NOT APPLICABLE

List all bonds, notes and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |
|---|---|
| 1 DESCRIPTION OF INSTRUMENT   | GOLDEN ST TOB SCRTZN CRP  |
| 2 HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| 3 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| DESCRIPTION OF INSTRUMENT   | HANFORD CALIF JT UN HSD   |
| HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| DESCRIPTION OF INSTRUMENT   | LOS ANGELES CALIF DEPT  |
| HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**BONDS, NOTES & OTHER COMMERCIAL PAPER****PART 3**☐ NOT APPLICABLE

List all bonds, notes and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

**1** DESCRIPTION  
OF INSTRUMENT

MENLO PK CALIF CITY SCH

**2** HELD OR ACQUIRED BY☒ FILER☐ SPOUSE☐ DEPENDENT CHILD \_\_\_\_\_**3** IF SOLD☐ NET GAIN☐ NET LOSS☐ LESS THAN \$5,000☐ \$5,000 - \$9,999☐ \$10,000 - \$24,999☐ \$25,000--OR MOREDESCRIPTION  
OF INSTRUMENT

MIAMI-DADE CNTY FLA

HELD OR ACQUIRED BY

☒ FILER☐ SPOUSE☐ DEPENDENT CHILD \_\_\_\_\_

IF SOLD

☐ NET GAIN☐ NET LOSS☐ LESS THAN \$5,000☐ \$5,000 - \$9,999☐ \$10,000 - \$24,999☐ \$25,000--OR MORE**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 MUTUAL FUND   | NAME<br>BLACKROCK GLOBAL   |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NAME<br>BLACKROCK RES & COMMODIT   |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input checked="" type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NAME<br>COHEN & STEERS MLP INCOM   |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |   |
|---|--|---|
| 1 MUTUAL FUND   | COLUMBIA EUROPEAN EQUITY                   | NAME  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER  | <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100     | <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | COLUMBIA SELECT LARGE                      | NAME  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER  | <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100     | <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | COLUMBIA SELIGMAN PREM                     | NAME  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER  | <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100     | <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |   |   |  |
|---|---|---|---|--|
| 1 MUTUAL FUND   | NAME<br>EATON VANCE TAX DIV INC   |   |   |  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999            |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE         |
| MUTUAL FUND   | NAME<br>FRANKLIN RISING   |   |   |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE            | <input type="checkbox"/> 500 TO 999           | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE         |
| MUTUAL FUND   | NAME<br>IVY SCIENCE & TECH FD CL I  |   |   |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999            |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE         |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 MUTUAL FUND   | JAPAN EQUITY FUND INC<br>NAME  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NUVEEN BUILD AMER BD FD<br>NAME  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NUVEEN MORTGAGE OPPORTUNITY<br>NAME  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 MUTUAL FUND   | NAME<br>NUVEEN SANTA BARBARA DIV GRW FD CL I   |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input checked="" type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NAME<br>OPPENHEIMER DEVELOPING MARKETS FD CL Y   |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NAME<br>OPPENHEIMER INTERNATL GROWTH FD CL Y   |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input checked="" type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |   |  |  |
|---|---|---|--|--|
| 1 MUTUAL FUND   | NAME<br>PAX WORLD SMALL CAP FUND  |   |  |  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____  |  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999            | <input type="checkbox"/> 1,000 TO 4,999            |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE         |
| MUTUAL FUND   | NAME<br>PRINCIPAL GLOBAL DIVERSI  |   |  |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____  |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE            | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999            |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE         |
| MUTUAL FUND   | NAME<br>SUNAMERICA FOCUSED DIV STR CL W   |   |  |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____  |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE            | <input type="checkbox"/> 500 TO 999            | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE         |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |   |   |  |
|---|---|---|---|--|
| 1 MUTUAL FUND   | NAME<br>SUNAMERICA FOCUSED ALPHA  |   |   |  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999    |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE |
| MUTUAL FUND   | NAME<br>SUNAMERICA INTL DIVIDEND  |   |   |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999    |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE |
| MUTUAL FUND   | NAME<br>T ROWE PRICE EUROPEAN   |   |   |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999    |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 MUTUAL FUND   | NAME<br>THE INVESTMENT COMPANY OF AMERICA-A  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input checked="" type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NAME<br>TOUCHSTONE SANDS CAPITAL GROWTH FUND CL Y  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |
| MUTUAL FUND   | NAME<br>TRANSAMERICA EMERGING MARKET DEBT FD CL I  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE  |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |   |   |  |
|---|---|---|---|--|
| 1 MUTUAL FUND   | NAME<br>VIRTUS FOREIGN  |   |   |  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999    |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE |

|   |   |   |   |  |
|---|---|---|---|--|
| MUTUAL FUND   | NAME<br>WESTERN ASSET HIGH YIELD  |   |   |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY                                      | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____ |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND  | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999           | <input type="checkbox"/> 1,000 TO 4,999    |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000  | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999  | <input type="checkbox"/> \$25,000--OR MORE |

|  |   |  |  |  |
|--|---|--|--|--|
| MUTUAL FUND  | NAME<br>BLACKROCK BUILD AMER BD   |  |  |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE  | <input type="checkbox"/> DEPENDENT CHILD ____  |  |
| NUMBER OF SHARES<br>OF MUTUAL FUND   | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999    |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000                             | <input type="checkbox"/> \$5,000 - \$9,999                                     | <input type="checkbox"/> \$10,000 - \$24,999   | <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |  |
|--|--|
| 1 MUTUAL FUND  | NAME<br>BLACKROCK GLOBAL   |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND   | <input checked="" type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| 4 IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE   |
| MUTUAL FUND  | NAME<br>FRANKLIN RISING  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND   | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE   |
| MUTUAL FUND  | NAME<br>IVY SCIENCE & TECH FD I  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND   | <input checked="" type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE   |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |  |
|--|--|
| 1 MUTUAL FUND  | NAME<br>NUVEEN MORTGAGE OPPORTUNITY  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND   | <input checked="" type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| 4 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE   |
| MUTUAL FUND  | NAME<br>NUVEEN SANTA BARBARA DIV GRW FD CL I   |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND   | <input type="checkbox"/> LESS THAN 100 <input checked="" type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE   |
| MUTUAL FUND  | NAME<br>OPPENHMR DEV MRKTS CL Y  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND   | <input checked="" type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999<br><input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS   | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE   |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**MUTUAL FUNDS****PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |   |  |  |
|--|---|--|--|
| 1 MUTUAL FUND  | NAME<br>SUNAMER FOC DIV STR CL W  |  |  |
| 2 SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE  | <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 NUMBER OF SHARES<br>OF MUTUAL FUND   | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input checked="" type="checkbox"/> 500 TO 999<br><input type="checkbox"/> 1,000 TO 4,999  |
| 4 IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000                             | <input type="checkbox"/> \$5,000 - \$9,999                                     | <input type="checkbox"/> \$10,000 - \$24,999<br><input type="checkbox"/> \$25,000--OR MORE |

|  |   |   |  |
|--|---|---|--|
| MUTUAL FUND  | NAME<br>TOUCHSTONE SANDS CAPITAL GROWTH FUND CL Y                                 |   |  |
| SHARES OF MUTUAL FUND<br>HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER   | <input type="checkbox"/> SPOUSE   | <input type="checkbox"/> DEPENDENT CHILD ____  |
| NUMBER OF SHARES<br>OF MUTUAL FUND   | <input type="checkbox"/> LESS THAN 100<br><input type="checkbox"/> 5,000 TO 9,999 | <input checked="" type="checkbox"/> 100 TO 499<br><input type="checkbox"/> 10,000 OR MORE | <input type="checkbox"/> 500 TO 999<br><input type="checkbox"/> 1,000 TO 4,999             |
| IF SOLD<br><input checked="" type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000                             | <input type="checkbox"/> \$5,000 - \$9,999  | <input type="checkbox"/> \$10,000 - \$24,999<br><input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 SOURCE OF INCOME                            | NAME AND ADDRESS<br>ALTRIA GROUP INC   |
| 2 RECEIVED BY                                 | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT                                      | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                              | NAME AND ADDRESS<br>APPLE INC  |
| RECEIVED BY                                   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT  | <input type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                              | NAME AND ADDRESS<br>AT&T INC   |
| RECEIVED BY                                   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT  | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY |  |

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 SOURCE OF INCOME                            | NAME AND ADDRESS<br>BLACKROCK BUILD AMER BD  |
| 2 RECEIVED BY                                 | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT                                      | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                              | NAME AND ADDRESS<br>BLACKROCK RES & COMMODIT   |
| RECEIVED BY                                   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT  | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                              | NAME AND ADDRESS<br>CALIFORNIA ST VAR PURP   |
| RECEIVED BY                                   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT  | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY |  |

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 SOURCE OF INCOME                            | NAME AND ADDRESS<br>CATERPILLAR INC  |
| 2 RECEIVED BY                                 | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT                                      | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                              | NAME AND ADDRESS<br>DALLAS TEX INDPT SCH   |
| RECEIVED BY                                   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT  | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                              | NAME AND ADDRESS<br>ELI LILLY & CO   |
| RECEIVED BY                                   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT  | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY |  |

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |  |
|--|--|
| 1 SOURCE OF INCOME                                   | NAME AND ADDRESS<br>EMERSON ELEC CO  |
| 2 RECEIVED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT   | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                                     | NAME AND ADDRESS<br>ENERGY XXI GULF COAS INC SR NOTE   |
| RECEIVED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT   | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME                                     | NAME AND ADDRESS<br>FRANKLIN RISING  |
| RECEIVED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT   | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| <b>COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY</b> |  |

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |  |
|--------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS<br>GILROY CALIF UNI SCH   |
| 2 RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>GOLDEN ST TOB SCRTZN CRP   |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>HANFORD CALIF JT UN HSD  |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |  |
|--------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS<br>ISHARES IBOX\$ HIGH YEL  |
| 2 RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                  |  |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS<br>LOS ANGELES CALIF DEPT   |
| RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|                  |  |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS<br>MENLO PK CALIF CITY SCH  |
| RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |  |
|--------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS<br>MIAMI-DADE CNTY FLA  |
| 2 RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>NUVEEN MORTGAGE OPPORTUNITY  |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>NUVEEN SANTA BARBARA DIV GRW FD CL I   |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |  |
|--------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS<br>PRINCIPAL GLOBAL DIVERSI   |
| 2 RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>SPDR S P DIVID ETF   |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>SUNAMERICA FOCUSED DIV STR CL W  |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |  |
|--------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS<br>TEXAS INSTRUMENTS  |
| 2 RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>WAL-MART STORES INC  |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>WHOLE FOODS MKT INC COM  |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS****PART 5**☐ NOT APPLICABLE

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |  |
|--------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS<br>WINDSTREAM CORP  |
| 2 RECEIVED BY      | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| 3 AMOUNT           | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>DESMOND BRYANT   |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |
| SOURCE OF INCOME   | NAME AND ADDRESS<br>STEPHOND WEST  |
| RECEIVED BY        | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____  |
| AMOUNT             | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**PERSONAL NOTES AND LEASE AGREEMENTS****PART 6**☐ NOT APPLICABLE

Identify each guarantor of a loan and each person or financial institution to whom you, your spouse, or a dependent child had a total financial liability of more than \$1,000 in the form of a personal note or notes or lease agreement at any time during the calendar year and indicate the category of the amount of the liability. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |  |
|---|--|
| 1 PERSON OR INSTITUTION<br>HOLDING NOTE OR<br>LEASE AGREEMENT | BANK OF AMERICA  |
| 2 LIABILITY OF  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |
| 3 GUARANTOR   |  |
| 4 AMOUNT  | <input type="checkbox"/> \$1,000 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

|   |  |
|---|--|
| PERSON OR INSTITUTION<br>HOLDING NOTE OR<br>LEASE AGREEMENT | U.S. BANK (VEHICLE)  |
| LIABILITY OF  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |
| GUARANTOR   |  |
| AMOUNT  | <input type="checkbox"/> \$1,000 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INTERESTS IN REAL PROPERTY****PART 7A**☐ NOT APPLICABLE

Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |   |
|--|---|
| 1 HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| 2 STREET ADDRESS<br><input type="checkbox"/> NOT AVAILABLE<br><input type="checkbox"/> CHECK IF FILER'S HOME ADDRESS | STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE<br><div style="background-color: black; width: 100%; height: 40px;"></div>   |
| 3 DESCRIPTION<br><input checked="" type="checkbox"/> LOTS<br><input type="checkbox"/> ACRES                          | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED<br>1 lot<br>DALLAS COUNTY  |
| 4 NAMES OF PERSONS<br>RETAINING AN INTEREST<br><input type="checkbox"/> NOT APPLICABLE<br>(SEVERED MINERAL INTEREST) |   |
| 5 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS                                  | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|  |   |
|--|---|
| HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| STREET ADDRESS<br><input type="checkbox"/> NOT AVAILABLE<br><input type="checkbox"/> CHECK IF FILER'S HOME ADDRESS | STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE<br>1537 PLEASANT RUN<br>DESOTO, TX 75115<br>DALLAS   |
| DESCRIPTION<br><input type="checkbox"/> LOTS<br><input checked="" type="checkbox"/> ACRES                          | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED<br>5 acres<br>DALLAS COUNTY  |
| NAMES OF PERSONS<br>RETAINING AN INTEREST<br><input type="checkbox"/> NOT APPLICABLE<br>(SEVERED MINERAL INTEREST) |   |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS                                  | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INTERESTS IN REAL PROPERTY****PART 7A**☐ NOT APPLICABLE

Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |
|---|---|
| <b>1 HELD OR ACQUIRED BY</b>  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| <b>2 STREET ADDRESS</b><br><input type="checkbox"/> NOT AVAILABLE<br><input type="checkbox"/> CHECK IF FILER'S HOME ADDRESS | STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE<br>7318 OAKMORE<br>DALLAS, TX 75249-1307<br>DALLAS   |
| <b>3 DESCRIPTION</b><br><input checked="" type="checkbox"/> LOTS<br><input type="checkbox"/> ACRES                          | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED<br>1 lot<br>DALLAS COUNTY  |
| <b>4 NAMES OF PERSONS RETAINING AN INTEREST</b><br><input type="checkbox"/> NOT APPLICABLE<br>(SEVERED MINERAL INTEREST)    |   |
| <b>5 IF SOLD</b><br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS                                  | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

|   |   |
|---|---|
| <b>HELD OR ACQUIRED BY</b>  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| <b>STREET ADDRESS</b><br><input type="checkbox"/> NOT AVAILABLE<br><input type="checkbox"/> CHECK IF FILER'S HOME ADDRESS | STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE<br>1212 REGENTS PARK<br>DESOTO, TX 75115-2837<br>DALLAS  |
| <b>DESCRIPTION</b><br><input checked="" type="checkbox"/> LOTS<br><input type="checkbox"/> ACRES                          | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED<br>1 lot<br>DALLAS COUNTY  |
| <b>NAMES OF PERSONS RETAINING AN INTEREST</b><br><input type="checkbox"/> NOT APPLICABLE<br>(SEVERED MINERAL INTEREST)    |   |
| <b>IF SOLD</b><br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS                                  | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**INTERESTS IN REAL PROPERTY****PART 7A**☐ NOT APPLICABLE

Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|  |   |
|--|---|
| 1 HELD OR ACQUIRED BY  | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| 2 STREET ADDRESS<br><input type="checkbox"/> NOT AVAILABLE<br><input type="checkbox"/> CHECK IF FILER'S HOME ADDRESS | STREET ADDRESS, INCLUDING CITY, COUNTY AND STATE<br>320 SOUTH R. L. THORNTON FREEWAY<br>SUITE 300<br>DALLAS, TX 75203-1804<br>DALLAS  |
| 3 DESCRIPTION<br><input checked="" type="checkbox"/> LOTS<br><input type="checkbox"/> ACRES                          | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED<br>1 lot   |
| 4 NAMES OF PERSONS<br>RETAINING AN INTEREST<br><input type="checkbox"/> NOT APPLICABLE<br>(SEVERED MINERAL INTEREST) |   |
| 5 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS                                  | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**INTERESTS IN BUSINESS ENTITIES****PART 7B**☐ NOT APPLICABLE

Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of 'beneficial interest' and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|   |   |
|---|---|
| 1 HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| 2 DESCRIPTION   | <div>NAME AND ADDRESS<br/><input type="checkbox"/> (check if Filer's Home Address)</div> <p>ROYCE WEST &amp; ASSOCIATES, P.C.</p> <p>320 SOUTH R. L. THORNTON FREEWAY<br/>SUITE 300<br/>DALLAS, TX 75203-1804</p> |
| 3 IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE                                     |

|   |   |
|---|---|
| HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____  |
| DESCRIPTION   | <div>NAME AND ADDRESS<br/><input type="checkbox"/> (check if Filer's Home Address)</div> <p>SKYVIEW DEVELOPMENT LLC</p> <p>320 SOUTH R. L. THORNTON FREEWAY<br/>DALLAS, TX 75203-1804</p> |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE             |

|   |  |
|---|--|
| HELD OR ACQUIRED BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |
| DESCRIPTION   | <div>NAME AND ADDRESS<br/><input type="checkbox"/> (check if Filer's Home Address)</div> <p>WEST &amp; ASSOCIATES, LLP</p> <p>320 SOUTH R. L. THORNTON FREEWAY<br/>SUITE 300<br/>DALLAS, TX 75203-1804</p> |
| IF SOLD<br><input type="checkbox"/> NET GAIN<br><input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE                              |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**GIFTS****PART 8**☐ NOT APPLICABLE

Identify any person or organization that has given a gift worth more than \$250 to you, your spouse, or a dependent child, and describe the gift. The description of a gift of cash or a cash equivalent, such as a negotiable instrument or gift certificate, must include a statement of the value of the gift. Do not include: 1) expenditures required to be reported by a person required to be registered as a lobbyist under chapter 305 of the Government Code; 2) political contributions reported as required by law; or 3) gifts given by a person related to the recipient within the second degree of consanguinity or affinity. For more information, see FORM PFS--INSTRUCTION GUIDE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

**1 DONOR**

NAME AND ADDRESS

SENATE COMMITTEE ON JURISPRUDENCE

SAM HOUSTON BUILDING  
201 E 14TH ST - ROOM 350  
AUSTIN, TX 78701**2 RECIPIENT**☒ FILER☐ SPOUSE☐ DEPENDENT CHILD \_\_\_\_\_**3 DESCRIPTION OF GIFT**\$600 GIFT CARD TO PURCHASE COWBOY BOOTS - FROM MEMBERS OF THE  
JURISPRUDENCE COMMITTEE**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**ASSETS OF BUSINESS ASSOCIATIONS****PART 11A**☐ NOT APPLICABLE

Describe all assets of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                              |  |   |
|------------------------------|--|---|
| 1 BUSINESS ASSOCIATION       | NAME AND ADDRESS <input type="checkbox"/> (Check if Filer's Home Address)<br>ROYCE WEST & ASSOCIATES, P.C.<br>320 SOUTH R. L. THORNTON FREEWAY<br>SUITE 300<br>DALLAS, TX 75203-1804 |   |
| 2 BUSINESS TYPE              | PROFESSIONAL CORPORATION   |   |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |   |
| 4 ASSETS                     | DESCRIPTION<br>NO ASSETS   | CATEGORY<br><input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999<br><input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**ASSETS OF BUSINESS ASSOCIATIONS****PART 11A**☐ NOT APPLICABLE

Describe all assets of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                              |  |   |
|------------------------------|--|---|
| 1 BUSINESS ASSOCIATION       | NAME AND ADDRESS <input type="checkbox"/> (Check if Filer's Home Address)  |   |
|                              | SKYVIEW DEVELOPMENT LLC<br><br>320 SOUTH R. L. THORNTON FREEWAY<br>SUITE 300<br>DALLAS, TX 75203-1804                    |   |
| 2 BUSINESS TYPE              | REAL ESTATE DEVELOPMENT: LIMITED LIABILITY COMPANY   |   |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 4 ASSETS                     | DESCRIPTION  | CATEGORY  |
|                              | BUILDING   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999<br><input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**ASSETS OF BUSINESS ASSOCIATIONS****PART 11A**☐ NOT APPLICABLE

Describe all assets of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

**1 BUSINESS  
ASSOCIATION**

NAME AND ADDRESS

☐ (Check if Filer's Home Address)

WEST &amp; ASSOCIATES, LLP

320 SOUTH R. L. THORNTON FREEWAY  
SUITE 300  
DALLAS, TX 75203-1804**2 BUSINESS TYPE**

LIMITED LIABILITY PARTNERSHIP

**3 HELD, ACQUIRED,  
OR SOLD BY**☒ FILER☐ SPOUSE☐ DEPENDENT CHILD \_\_\_\_\_**4 ASSETS**

DESCRIPTION

CATEGORY

PROPERTY/EQUIPMENT

☒ LESS THAN \$5,000 ☐ \$5,000 - \$9,999☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE

OFFICE FURNITURE

☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999☒ \$10,000 - \$24,999 ☐ \$25,000--OR MORE

COMPUTER EQUIPMENT

☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999☒ \$10,000 - \$24,999 ☐ \$25,000--OR MORE**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**LIABILITIES OF BUSINESS ASSOCIATIONS****PART 11B**☐ NOT APPLICABLE

Describe all liabilities of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the liabilities. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                              |  |   |
|------------------------------|--|---|
| 1 BUSINESS ASSOCIATION       | NAME AND ADDRESS <input type="checkbox"/> (Check if Filer's Home Address)<br>WEST & ASSOCIATES, LLP<br>320 SOUTH R.L. THORNTON FREEWAY<br>SUITE 300<br>DALLAS, TX 75203-1804 |   |
| 2 BUSINESS TYPE              | LIMITED LIABILITY PARTNERSHIP  |   |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____   |   |
| 4 LIABILITIES                | DESCRIPTION<br>CLIENT TRUST ACCOUNT  | CATEGORY<br><input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999<br><input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**LIABILITIES OF BUSINESS ASSOCIATIONS****PART 11B**☐ NOT APPLICABLE

Describe all liabilities of each coporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the liabilities. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                              |  |   |
|------------------------------|--|---|
| 1 BUSINESS ASSOCIATION       | NAME AND ADDRESS <input type="checkbox"/> (Check if Filer's Home Address)  |   |
|                              | SKYVIEW DEVELOPMENT LLC<br>320 SOUTH R. L. THORNTON FREEWAY<br>SUITE 300<br>DALLAS, TX 75203-1804                        |   |
| 2 BUSINESS TYPE              | LIMITED LIABILITY COMPANY  |   |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |   |
| 4 LIABILITIES                | DESCRIPTION  | CATEGORY  |
|                              | DEBT   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999<br><input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |
|                              | TENANT DEPOSITS  | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999<br><input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**



**BOARDS AND EXECUTIVE POSITIONS****PART 12**☐ NOT APPLICABLE

List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |   |
|--------------------|---|
| 1 ORGANIZATION     | BLACK AMERICA WEB RELIEF FUND   |
| 2 POSTITION HELD   | SECRETARY   |
| 3 POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| ORGANIZATION       | CIRCLE TEN COUNCIL OF BOY SCOUTS OF AMERICA   |
| POSTITION HELD     | VICE PRESIDENT SCOUT REACH  |
| POSITION HELD BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| ORGANIZATION       | EDUCATION IS FREEDOM  |
| POSTITION HELD     | BOARD MEMBER  |
| POSITION HELD BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| ORGANIZATION       | ROYCE WEST & ASSOCIATES, P.C.   |
| POSTITION HELD     | PRESIDENT   |
| POSITION HELD BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| ORGANIZATION       | SKYVIEW DEVELOPMENT LLC   |
| POSTITION HELD     | PRESIDENT   |
| POSITION HELD BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**BOARDS AND EXECUTIVE POSITIONS****PART 12**☐ NOT APPLICABLE

List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

|                    |   |
|--------------------|---|
| 1 ORGANIZATION     | TOM JOYNER FOUNDATION, INC  |
| 2 POSTITION HELD   | SECRETARY   |
| 3 POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| ORGANIZATION       | WEST & ASSOCIATES, LLP  |
| POSTITION HELD     | MANAGING PARTNER  |
| POSITION HELD BY   | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**EXPENSES ACCEPTED UNDER HONORARIUM EXCEPTION****PART 13**☐ NOT APPLICABLE

Identify any person who provided you with necessary transportation, meals, or lodging, as permitted under section 36.07(b) of the Penal Code, in connection with a conference or similar event in which you rendered services, such as addressing an audience or participating in a seminar, that were more than perfunctory. Also provide the amount of the expenditures on transportation, meals, or lodging. You are not required to include items you have already reported as political contributions on a campaign finance report, or expenditures required to be reported by a lobbyist under the lobby law (chapter 305 of the Government Code). For more information, see FORM PFS--INSTRUCTION GUIDE

| 1 PROVIDER | NAME AND ADDRESS   |
|------------|--|
|            | TEXAS ASSOCIATION OF MEXICAN AMERICAN CHAMBER OF COMMERCE (TAMACC)<br><br>P.O. BOX 41780<br>AUSTIN, TX 78704 |
| 2 AMOUNT   | \$138.06   |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**FEES RECEIVED FOR SERVICES RENDERED  
TO A LOBBYIST OR LOBBYIST'S EMPLOYER****PART 15**☐ NOT APPLICABLE

Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFS--INSTRUCTION GUIDE.

**1 PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

ANDREWS KURTH

**2 FEE CATEGORY**☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE**PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

BANK OF AMERICA CORPORATION

**FEE CATEGORY**☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE**PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

DALLAS INDEPENDENT SCHOOL DISTRICT

**FEE CATEGORY**☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE**PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

FIRST SOUTHWEST COMPANY

**FEE CATEGORY**☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE**PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

LINEBARGER GOGGAN BLAIR &amp; SAMPSON

**FEE CATEGORY**☒ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☐ \$25,000--OR MORE**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

# FEES RECEIVED FOR SERVICES RENDERED TO A LOBBYIST OR LOBBYIST'S EMPLOYER

**PART 15**
☐ NOT APPLICABLE

Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFS--INSTRUCTION GUIDE.

|  |  |
|--|--|
| 1 PERSON OR ENTITY<br>FOR WHOM SERVICES<br>WERE PROVIDED | ANDREWS KURTH  |
| 2 FEE CATEGORY   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |
| PERSON OR ENTITY<br>FOR WHOM SERVICES<br>WERE PROVIDED   | BANK OF AMERICA CORPORATION  |
| FEE CATEGORY   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |
| PERSON OR ENTITY<br>FOR WHOM SERVICES<br>WERE PROVIDED   | DALLAS INDEPENDENT SCHOOL DISTRICT   |
| FEE CATEGORY   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |
| PERSON OR ENTITY<br>FOR WHOM SERVICES<br>WERE PROVIDED   | FIRST SOUTHWEST / PLAINS CAPITAL   |
| FEE CATEGORY   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |
| PERSON OR ENTITY<br>FOR WHOM SERVICES<br>WERE PROVIDED   | LINEBARGER GOGGAN BLAIR & SAMPSON  |
| FEE CATEGORY   | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |
| PERSON OR ENTITY<br>FOR WHOM SERVICES<br>WERE PROVIDED   | CITY OF DALLAS   |
| FEE CATEGORY   | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**FEES RECEIVED FOR SERVICES RENDERED  
TO A LOBBYIST OR LOBBYIST'S EMPLOYER****PART 15**☐ NOT APPLICABLE

Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFS--INSTRUCTION GUIDE.

**1 PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

HOUSTON INDEPENDENT SCHOOL DISTRICT

**2 FEE CATEGORY**☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE**PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

JP MORGAN SECURITIES LLC

**FEE CATEGORY**☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☒ \$10,000 - \$24,999 ☐ \$25,000--OR MORE**PERSON OR ENTITY  
FOR WHOM SERVICES  
WERE PROVIDED**

DALLAS AREA RAPID TRANSIT (DART)

**FEE CATEGORY**☐ LESS THAN \$5,000 ☐ \$5,000 - \$9,999 ☐ \$10,000 - \$24,999 ☒ \$25,000--OR MORE**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

## PERSONAL FINANCIAL STATEMENT

### PARTS MARKED 'NOT APPLICABLE' BY FILER

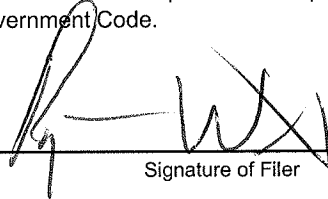
Rather than printing a page for each Part the filer checked 'Not Applicable,' this page summarizes whether the 'Not Applicable' checkbox was checked for each Part. If the checkbox is checked next to a Part below, then no pages for that Part should be present in the report. If a checkbox is not checked, then pages for that Part should be present in the report.

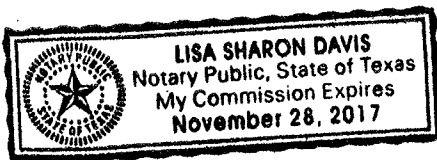
- ☐ N/A Part 1A - Sources of Occupational Income
- ☒ N/A Part 1B - Retainers
- ☐ N/A Part 2 - Stock
- ☐ N/A Part 3 - Bonds, Notes & Other Commercial Paper
- ☐ N/A Part 4 - Mutual Funds
- ☐ N/A Part 5 - Income from Interest, Dividends, Royalties & Rents
- ☐ N/A Part 6 - Personal Notes and Lease Agreements
- ☐ N/A Part 7A - Interests in Real Property
- ☐ N/A Part 7B - Interests in Business Entities
- ☐ N/A Part 8 - Gifts
- ☒ N/A Part 9 - Trust Income
- ☒ N/A Part 10A - Blind Trusts
- ☒ N/A Part 10B - Trustee Statement
- ☐ N/A Part 11A - Assets of Business Associations
- ☐ N/A Part 11B - Liabilities of Business Associations
- ☐ N/A Part 12 - Boards and Executive Positions
- ☐ N/A Part 13 - Expenses Accepted Under Honorarium Exception
- ☒ N/A Part 14 - Interest in Business in Common with Lobbyist
- ☐ N/A Part 15 - Fees Received for Services Rendered to a Lobbyist or Lobbyist's Employer
- ☒ N/A Part 16 - Representation by Legislator Before State Agency
- ☐ N/A Part 17 - Benefits Derived from Functions Honoring Public Servant
- ☒ N/A Part 18 - Legislative Continuances

**PERSONAL FINANCIAL STATEMENT AFFIDAVIT**

The law requires the personal financial statement to be verified. The verification page must have the signature of the individual required to file the personal financial statement, as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations. Without proper verification, the statement is not considered filed.

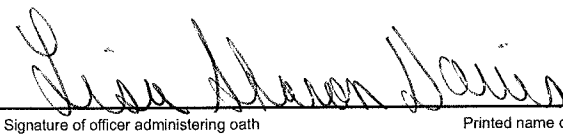
I swear, or affirm, under penalty of perjury, that this financial statement covers calendar year ending December 31, **2013**, and is true and correct and includes all information required to be reported by me under chapter 572 of the Government Code.

  
\_\_\_\_\_  
Signature of Filer



AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me by Royce West this the 21<sup>st</sup> day of January, 20 14.  
to certify which, witness my hand and seal of office.

 Lisa Sharon Davis Notary Public  
Signature of officer administering oath Printed name of officer administering oath Title of officer administering oath